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#5

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In Re Application of:

WOLFFE et al.

Serial No.: 10/084,826

Group Art Unit: 1645

Filing Date: October 24, 2001

Examiner: unassigned

Title: TARGETED MODIFICATION OF CHROMATIN STRUCTURE

INFORMATION DISCLOSURE STATEMENT  
UNDER 37 C.F.R. § 1.97

Assistant Commissioner for Patents  
Washington, D.C. 20231

Sir:

The information listed below may be material to the examination of the above-identified application. All references are of record, or have been submitted in related application serial number 09/844,508 from which the present application claims priority under 35 U.S.C. §120. Thus, pursuant to C.F.R. §1.98(d), copies of the references are not included.

This Information Disclosure Statement under 37 CFR § 1.97 is not to be construed as a representation that: (i) a complete search has been made; (ii) additional information material to the examination of this application does not exist; (iii) the information, protocols, results and the like reported by third parties are accurate or enabling; or (iv) the above information constitutes prior art to the subject invention.

Respectfully submitted,

Date: June 27, 2002

By: [Signature]  
Dahna S. Pasternak  
Registration No. 41,411

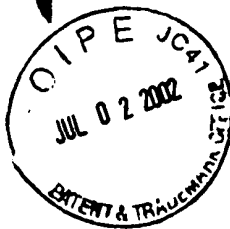
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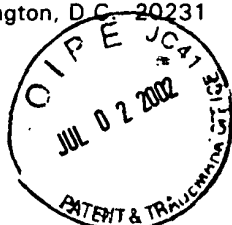
The Commissioner is hereby authorized to charge any fees under 37 C.F.R. §§ 1.16, 1.17 and 1.21 which may be required by this paper, or to credit any overpayment, to Deposit Account No. 18-1648.

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Date: June 27, 2002

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## U.S. PATENT DOCUMENTS

Exam. Init.	Ref. Desig.	Document No.	Date	Name	Class	Sub Class	Filing Date
	AA-1	5,972,608	October 26, 1999	Peterson et al.			

## FOREIGN PATENT DOCUMENTS

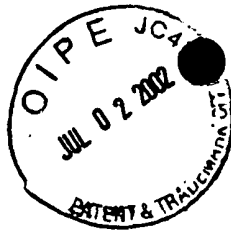
Exam. Init.	Ref. Desig.	Document No.	Publication Date	Country or Patent Office	Class	Sub Class	Translation YES	Translation NO
	AB-1	WO 95/09233	April 6, 1995	PCT				
	AC-1	WO 97/11972	April 3, 1997	PCT				
	AD-1	WO 00/23464	April 27, 2000	PCT				
	AE-1	WO 00/41566	July 20, 2000	PCT				
	AF-1	WO 00/42219	July 20, 2000	PCT				
	AG-1	WO 01/52620	July 26, 2001	PCT				
	AH-1	WO 01/59094	August 16, 2001	PCT				
	AI-1	WO 01/68807	September 20, 2001	PCT				

OTHER DOCUMENTS (including Author, Title, Date, Pertinent Pages, etc.)

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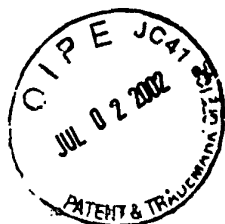
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	CQ-1	Tsukiyama et al., "Purification and Properties of an ATP-Dependent Nucleosome Remodeling Factor," <i>Cell</i> <u>83</u> :1011-1020 (1995)
	CR-1	Tsukiyama et al., "Characterization of the Imitation Switch Subfamily of ATP-Dependent Chromatin-Remodeling Factors in <i>Saccharomyces cerevisiae</i> ," <i>Genes Dev.</i> <u>13</u> :686-697 (1999)
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	CW-1	Wade et al., "Histone Acetylation: Chromatin in Action," <i>Trends Biochem Sci</i> <u>22</u> :128-132 (1997)
	CX-1	Wallberg et al., "Recruitment of the SWI-SNF Chromatin Remodeling Complex as a Mechanism of Gene Activation by the Glucocorticoid Receptor t1 Activation Domain," <i>Molecular and Cellular Biology</i> <u>20</u> (6):2004-2013 (2000)
	CY-1	White et al., "Ligand-Independent Activation of the Oestrogen Receptor by Mutation of a Conserved Tyrosine," <i>EMBO Journal</i> <u>16</u> (6):1427-1435 (1997)
	CZ-1	Wolffe et al., "Review: Chromatin Structural Features and Targets That Regulate Transcription," <i>Journal of Structural Biology</i> <u>129</u> :102-122 (2000)

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	DA-1	Wolffe et al., "Co-Repressor Complexes and Remodeling Chromatin for Repression," <i>Biochemical Society Transactions</i> <u>28</u> (4):379-386 (2000)
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	DD-1	Workman et al., "Alteration of Nucleosome Structure as a Mechanism of Transcriptional Regulation," <i>Ann. Rev. Biochem.</i> <u>67</u> :545-579 (1998)
	DE-1	Xu et al., "Cytosine Methylation Targetted to Pre-Determined Sequences," <i>Nature Genetics</i> <u>17</u> :376-378 (1997)
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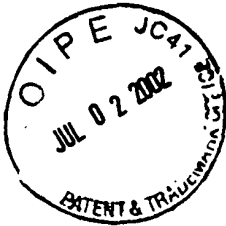
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	AJ-1	Ahringer, "NuRD and SIN 3 Histone Deacetylase Complexes in Development," <i>Trends in Genetics</i> <u>16</u> :351-356 (2000)
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	AM-1	Bochar et al., "A Family of Chromatin Remodeling Factors Related Williams Syndrome Transcription Factor," <i>Proc. Natl. Acad. Sci. U.S.A.</i> <u>97</u> :1038-1043 (2000)
	AN-1	Boyes et al., "Regulation of Activity of the Transcription Factor GATA-1 by Acetylation," <i>Nature</i> <u>396</u> :594-598 (1998)
	AO-1	Cairns et al., "Two Functionally Distinct Forms of the RSC Nucleosome-Remodeling Complex, Containing Essential AT Hook, BAH, and Bromodomains," <i>Molecular Cell</i> <u>4</u> :715-723 (1999)
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	AQ-1	Chen et al., "Regulation of Transcription by a Protein Methyltransferase," <i>Science</i> <u>284</u> :2174-2177 (1999)
	AR-1	de La Serna et al., "Mammalian SWI-SNF Complexes Contribute to Activation of the <i>hsp 70</i> Gene," <i>Mol. Cell Biol.</i> <u>20</u> :2839-2851 (2000)
	AS-1	Devine et al., "After Chromatin is SWItched-on Can it be RUSHed?," <i>Molecular and Cellular Endocrinology</i> <u>151</u> (1-2):49-56 (1999)

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	AT-1	Deuring et al., "The ISWI Chromatin-Remodeling Protein is Required for Gene Expression and the Maintenance of Higher Order Chromatin Structure <i>In Vivo</i> ," <i>Mol. Cell</i> <u>5</u> :355-365 (2000)
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	BA-1	Holstege et al., "Dissecting the Regulatory Circuitry of a Eukaryotic Genome," <i>Cell</i> <u>95</u> :717-728 (1998)
	BB-1	Imhof et al., "Acetylation of General Transcription Factors by Histone Acetyltransferases," <i>Current Biology</i> <u>7</u> :689-692 (1997)

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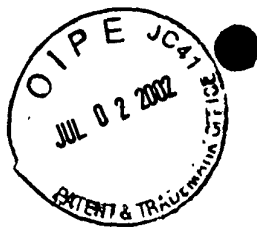
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	BD-1	Kadam et al., "Functional Selectivity of Recombinant Mammalian SWI/SNF Subunits," <i>Genes &amp; Development</i> <u>14</u> :2441-2451 (2000)
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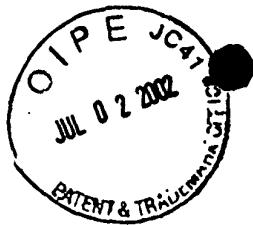
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	BP-1	McDowell et al., "Localization of a Putative Transcriptional Regulator (ATRX) at Pericentromeric Heterochromatin and the Short Arms of Acrocentric Chromosomes," <i>PNAS</i> <u>96</u> :13983-13988 (1999)
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	BV-1	Murphy et al., "Human SWI-SNF Component BRG1 Represses Transcription of the <i>c-fos</i> Gene," <i>Molecular and Cellular Biology</i> <u>19</u> (4):2724-2733 (1999)

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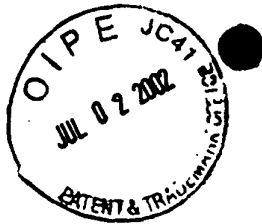
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	BW-1	Näär et al., "Composite Co-Activator ARC Mediates Chromatin-Directed Transcriptional Activation," <i>Nature</i> <u>398</u> :828-832 (1999)
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	BY-1	Nielsen et al., "Rb Targets Histone H3 Methylation and HP1 to Promoters," <i>Nature</i> <u>412</u> :561-565 (2001)
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	CC-1	Peterson et al., "Recruitment of Chromatin Remodeling Machines," <i>Journal of Cellular Biochemistry</i> <u>78</u> :179-185 (2000);
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Filed: October 24, 2001

Examiner: unassigned

TECH CENTER 1600/2900

Title: TARGETED MODIFICATION OF CHROMATIN STRUCTURE

Exam. Init.	Ref. Desig.	Description
	CG-1	Rhodes et al., "Zinc Fingers," <i>Scientific American</i> <u>268</u> (2):56-65 (1993)
	CH-1	Roth et al, "Histone Acetylation and Chromatin Assembly: A Single Escort, Multiple Dances?," <i>Cell</i> <u>87</u> :5-8 (1996)
	CI-1	Sassone-Corsi et al., "Requirement of Rsk-2 for Epidermal Growth Factor-Activated Phosphorylation of Histone H3," <i>Science</i> <u>285</u> :886-891 (1999)
	CJ-1	Schultz et al., "Targeting Histone Deacetylase Complexes Via KRAB-Zinc Finger Proteins: The PHD and Bromodomains of KAP-1 Form a Cooperative Unit That Recruits a Novel Isoform of the Mi-2 $\alpha$ Subunit of NuRD," <i>Genes &amp; Development</i> <u>15</u> :428-443 (2001)
	CK-1	Sterner et al., "Studies of Acetylation and Deacetylation in High Mobility Group Proteins," <i>The Journal of Biological Chemistry</i> <u>256</u> (17):8892-8895 (1981)
	CL-1	Sterner et al., "Acetylation of Histones and Transcription-Related Factors," <i>Microbiology and Molecular Biology Review</i> <u>64</u> (2):435-459 (2000)
	CM-1	Strahl et al., "The Language of Covalent Histone Modifications," <i>Nature</i> <u>403</u> :41-45 (2000)
	CN-1	Struhl, "Histone Acetylation and Transcriptional Regulatory Mechanisms," <i>Genes Dev.</i> <u>12</u> :599-606 (1998)
	CO-1	Sudarsanam et al., "Whole-Genome Expression Analysis of <i>snf/swi</i> Mutants of <i>Saccharomyces Cerevisiae</i> ," <i>Proc. Natl. Acad. Sci. U.S.A.</i> <u>97</u> :3364-3369 (2000)
	CP-1	Sudarsanam et al., "The Swi/Snf Family Nucleosome-Remodeling Complexes and Transcriptional Control," <i>Trends in Genetics</i> <u>16</u> :345-351 (2000)

Examiner:

Date Considered:

EXAMINER: Initial if citation considered whether or not the citation conforms with MPEP609. Draw a line through the citation if not in conformance and not considered. Include copy of this form with next communication to applicant.